

CSBG State Plan

Program Name: Community Services Block Grant

Grantee Name: New York State Department of State

Report Name: CSBG State Plan

Report Period: 10/01/2021 to 09/30/2022

Report Status: Submission Accepted by CO

Report Sections

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CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No: 0970-0382 Expires: 06/30/2021							
COVER PAGE									
* 1.a. Type of Submission: <input type="radio"/> Application <input checked="" type="radio"/> Plan <input type="radio"/> Other (2 Year)	* 1.b. Frequency: <input type="radio"/> Annual <input checked="" type="radio"/> Other (2 Year)	* 1.c. Consolidated Application/ Plan/Funding Request? Explanation: 2. Date Received: 3. Applicant Identifier: 4a. Federal Entity Identifier: 4b. Federal Award Identifier:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update State Use Only: 5. Date Received By State: 6. State Application Identifier:						
7. APPLICANT INFORMATION									
* a. Legal Name: New York State Department of State									
* b. Employer/Taxpayer Identification Number (EIN/TIN): 146013200		* c. Organizational DUNS: 957242472							
* d. Address:									
* Street 1:	One Commerce Plaza Suite 1020	Street 2:	99 Washington Avenue						
* City:	Albany	County:	ALBANY						
* State:	NY	Province:							
* Country:	United States	* Zip / Postal Code:	12231 - 0001						
e. Organizational Unit:									
Department Name: New York State Department of State		Division Name: Division of Community Services							
f. Name and contact information of person to be contacted on matters involving this application:									
Prefix: Mr.	* First Name: Manuel	Middle Name: A	* Last Name: Rosa						
Suffix:	Title: Division Director	Organizational Affiliation: NYS Department of State							
* Telephone Number: (518) 474-5741	Fax Number	* Email: manuel.rosa@dos.ny.gov							
* 8a. TYPE OF APPLICANT: A: State Government									
b. Additional Description:									
* 9. Name of Federal Agency:									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;"></td> <td style="width: 33%; text-align: center;">Catalog of Federal Domestic Assistance Number:</td> <td style="width: 34%; text-align: center;">CFDA Title:</td> </tr> <tr> <td>10. CFDA Numbers and Titles</td> <td style="text-align: center;">93569</td> <td style="text-align: center;">Community Services Block Grant</td> </tr> </table>					Catalog of Federal Domestic Assistance Number:	CFDA Title:	10. CFDA Numbers and Titles	93569	Community Services Block Grant
	Catalog of Federal Domestic Assistance Number:	CFDA Title:							
10. CFDA Numbers and Titles	93569	Community Services Block Grant							
11. Descriptive Title of Applicant's Project Community Services Block Grant									
12. Areas Affected by Funding: State of New York									
13. CONGRESSIONAL DISTRICTS OF:									
* a. Applicant NY		b. Program/Project: New York							
Attach an additional list of Program/Project Congressional Districts if needed.									
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:							
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0						
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?									
a. This submission was made available to the State under the Executive Order 12372									
Process for Review on :									
b. Program is subject to E.O. 12372 but has not been selected by State for review.									

c. Program is not covered by E.O. 12372.

* 17. Is The Applicant Delinquent On Any Federal Debt?

☐ YES

☒ NO

Explanation:

18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

****I Agree** ☒

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18a. Typed or Printed Name and Title of Authorized Certifying Official

18c. Telephone (area code, number and extension)

18d. Email Address

18b. Signature of Authorized Certifying Official



18e. Date Report Submitted (Month, Day, Year)

03/31/2022

Attach supporting documents as specified in agency instructions.

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:06/30/2021	
SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter			
1.1. Identify whether this is a One-Year or a Two-Year Plan		<input type="radio"/> one-year <input checked="" type="radio"/> two-year	
1.1a. Provide the federal fiscal years this plan covers:		Year One 2022	Year Two 2023
1.2. Lead Agency: Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. <i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
Has information in regards to the state lead agency has changed since the last submission of the state plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated			
<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name	
<input type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input type="checkbox"/> City	
<input type="checkbox"/> Zip Code	<input type="checkbox"/> Business Number	<input type="checkbox"/> Fax Number	
<input type="checkbox"/> Email Address	<input type="checkbox"/> Website		
1.2a. Lead agency		New York State Department of State	
1.2b. Cabinet or administrative department of this lead agency <i>[Select one option and narrative where applicable]</i>			
<input checked="" type="radio"/> Community Services Department			
<input type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input type="radio"/> Other, describe			
1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official		Secretary of State	
1.2d. Authorized official of the lead agency			
Name: Manuel A. Rosa		Title: Division Director	
1.2e. Street Address		One Commerce Plaza, 99 Washington Avenue, Suite 1020	
1.2f. City	Albany	1.2g. State NY	1.2h. Zip 12231
1.2i. Work Telephone number and extension 518 474 - 5741 ext.		1.2j. Fax number 518 486 - 5016	
1.2k. Email address Manuel.Rosa@dos.ny.gov		1.2l. Lead agency website http://www.dos.ny.gov	
1.3. Designation Letter: Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the designated agency has changed.			
1.4. CSBG Point of Contact: provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.			

Has Information in regards to the state point of contact changed since the last submission of the state plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated Date picker and check all the apply			
<input type="checkbox"/>	Agency Name	<input type="checkbox"/>	Point of Contact
<input type="checkbox"/>	City	<input type="checkbox"/>	Zip Code
<input type="checkbox"/>	Fax Number	<input type="checkbox"/>	Email Address
<input type="checkbox"/>		<input type="checkbox"/>	Website
1.4a. Agency Name New York State Department of State, Division of Community Services			
1.4b Point of Contact Name			
Name: Manuel A. Rosa		Title: Division Director	
1.4c. Street Address		One Commerce Plaza, 99 Washington Avenue Suite 1020	
1.4d. City		Albany	1.4e. StateNY 1.4f. Zip 12231
1.4g. Telephone Number 518 474 - 5016 ext.		1.4h. Fax Number 518 474 - 4663	
1.4i. Email Address dos.sm.dcs@dos.ny.gov		1.4j. Agency Website http://www.dos.ny.gov/dcs/index.htm	
1.5. Provide the following information in relation to theState Community Action Association.			
There is currently a state Community Action Association within the state. <input checked="" type="radio"/> Yes <input type="radio"/> No			
Has Information in regards to the state Community Action Association has changed since the last submission of the state plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated Date picker and check all the apply			
<input type="checkbox"/>	Agency Name	<input type="checkbox"/>	Executive Director
<input type="checkbox"/>	City	<input type="checkbox"/>	State
<input type="checkbox"/>	Office Number	<input type="checkbox"/>	Fax Number
<input type="checkbox"/>		<input type="checkbox"/>	Email Address
<input type="checkbox"/>	Website	<input type="checkbox"/>	RPIC Lead
1.5a. Agency Name New York State Community Action Association			
1.5b. Executive Director or Point of Contact			
Name: Jacqueline Orr		Title: Chief Executive Officer	
1.5c. Street Address		2 Charles Boulevard	
1.5d. City		Guilderland	1.5e. StateNY 1.5f. Zip 12084
1.5g. Telephone number 518 690 - 0941 ext. 24		1.5h. Fax number 518 690 - 0498	
1.5i. Email Address jorr@nyscommunityaction.org		1.5j. State Association Website www.nyscommunityaction.org	
1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead <input checked="" type="radio"/> Yes <input type="radio"/> No			

Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

State has a statute authorizing CSBG ☒ Yes ☐ No

2.2. CSBG State Regulation:

State has regulations for CSBG ☒ Yes ☐ No

2.3. Legislation/Regulation Document: Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Item 2.1. and/or Item 2.2.

See attachment 2a.

2.4. State Authority:

Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:

2.4a. Authorizing Legislation: State legislature enacts authorizing legislation or amendments to an existing authorizing statute, last federal fiscal year ☐ Yes ☒ No

2.4b. Regulation Amendments: State established or amended regulations for CSBG last federal fiscal year ☐ Yes ☒ No

2.4c. Designation: State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency ☒ Yes ☐ No

Section 3: State Plan Development and Statewide Goals

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the state agency that serves as the CSBG Lead Agency.

The mission and responsibility of the Department of State (DOS) as the lead agency is to work in partnership with the community services network of eligible entities as well as federal, state, and local governments, and community-based organizations to effectively carry out the purposes, goals, and assurances of the CSBG Act. Adherence to the mission and responsibilities of DOS, as lead agency, is addressed and ensured in several ways, including through program and fiscal monitoring; certification of eligible entities capacity to meet statutory requirements; provision of training and technical assistance to ensure agencies that require additional assistance are provided the same; coordinating and forming partnerships with other organizations serving low-income residents, and coordinating and establishing linkages between governmental and other social services programs to ensure effective delivery of services.

3.2. State Plan Goals:

Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.

(Note: This information is associated with State Accountability Measure 1Sa(i) and pre-populates the State's Annual Report, Module 1, Item B.1.)

New York State envisions that programs will be administered in accordance with the CSBG statutory purposes and goals and in compliance with all applicable state and federal statutes, rules, regulations, policies, and procedures. The following goals guide operation: Goal 1: Funds will be distributed in a timely manner and in accordance with applicable federal and state statutes. Goal 2: A comprehensive onsite review of each eligible entity will be conducted at least once every three years in accordance with § 678B of the CSBG Act. The reviews will be based in part on the organizational standards in accordance with IM138. Training and technical assistance will be provided to ensure that eligible entities can increase compliance with federal organizational standards. Goal 3: CSBG funds will be coordinated with governmental and other social services programs to assure effective delivery of services and to avoid duplication. Goal 4: Reports will be prepared documenting the use and outcomes of CSBG funds and will be submitted to the U.S. Department of Health and Human Services (HHS), the Governor of New York State, and the New York State Legislature annually as prescribed by federal and state statutes. Goal 5: DOS will procure and implement a database-driven solution aimed at alleviating the overall administrative burden for CSBG State Staff and CSBG Eligible Entities. Testimony provided during the CSBG public hearing indicated network-wide support for the implementation of a CSBG State database system. In addition, based on feedback received from the network, in the previous ACSI survey, DOS will continue to provide assistance and guidance in the development of services that will reflect the goals and intent of the CSBG Organizational Standards.

3.3. State Plan Development:

Indicate the information and input the state accessed to develop this State Plan.

3.3a. Analysis of state-level tools *[Check all that apply and narrative where applicable]*

☒ State Performance Indicators and/or National Performance Indicators (NPIs)

☐ U.S. Census data

☒ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)

☒ Monitoring Visits/Assessments

☒ Tools not identified above (specify)

Requests for training and technical assistance submitted by eligible entities as part of DOS contracting process, routine monitoring along with annual and triennial comprehensive assessments.

3.3b. Analysis of local-level tools *[Check all that apply and narrative where applicable]*

☒ Eligible entity community needs assessments

☒ Eligible entity community action plans

☒ Public Hearings/Workshops

☐ Tools not identified above (e.g., State required reports) [specify]

3.3c. Consultation with *[Check all that applies and narrative where applicable]*

☒ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)

☒ State Association

☒ National Association for State Community Services Programs (NASCSPP)

☒ Community Action Partnership (The Partnership)

☒ Community Action Program Legal Services (CAPLAW)

☐ CSBG Tribal Training and Technical Assistance (T/TA) provider

☒ Regional Performance Innovation Consortium (RPIC)

<input checked="" type="checkbox"/>	Association for Nationally Certified ROMA Trainers (ANCRT)
<input checked="" type="checkbox"/>	Federal CSBG Office
<input checked="" type="checkbox"/>	Organizations not identified above [Specify] NYS CSBG Advisory Council
3.4. Eligible Entity Involvement	
3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.	
<i>(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)</i>	
<p>DOS engaged CSBG eligible entities throughout the entire process of developing the FY2022-2023 State Plan. On February 11, 2021, DOS shared with the CSBG Advisory Council planned activities in the development of the state plan and encouraged Council member input. During the months of February and March of 2021, DOS partnered with the New York State Community Action Agency(NYSCAA) to form a workgroup consisting of ten Executive Directors from various eligible entities. The workgroup provided a review of the previous state plan and made recommendations for the draft 2022-2023 State Plan. On April 22, 2021, DOS held a conference call with the Executive Directors of eligible entities throughout the state, providing updates on the status of the State Plan development and encouraged feedback. DOS and NYSCAA convened three virtual regional meetings from May 12, May 25, and June 9, 2021, to initiate discussion of the draft State Plan for FFYs 2022 and 2023. The meeting schedule was distributed, on April 19, 2021, to allow eligible entities to plan to attend in advance and to give time to review changes made to the State Plan for areas to comment upon. DOS has encouraged stakeholder input to the State Plan through newsletters, email blasts, and website postings. Throughout this process, NYSCAA acted as a liaison to encourage stakeholder participation in State Plan development. A draft plan was created based on this information and was circulated for review. The following is a list of activities for public comment and plan development: A draft of the State Plan was publicly posted on the public DOS website for public comment on June 9, 2021; a 37-day public comment period was provided from June 9, 2021, through July 16, 2021; DOS conducted a meeting of the CSBG Advisory Council on May 20, 2021, to discuss the draft plan; and DOS held a public hearing for comment on the Plan on July 8, 2021. An email encouraging written comments from the entire CAA network providers about the draft Plan was sent by DOS on June 7, 2021. Emails were sent on June 30th, July 1st, July 6th, and July 7th as a reminder of the public hearing and to encourage additional comments. By soliciting comments on the draft plan and following the path outlined above, DOS was able to fully gather and carefully consider eligible entities' input during the entirety of the Plan development process. A CSBG Advisory Council meeting was held on July 29, 2021, to review final changes based on submitted public comments and testimony. On August 5, 2021, a final meeting of the State Plan workgroup was held to review final changes to the State Plan. An additional briefing was provided to the network on August 12, 2021.</p>	
3.4b. Performance Management Adjustment: Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous plans in order to:	
<p>1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities?</p> <p>Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.</p>	
<i>(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.)</i>	
<p>DOS began the planning process for the 2022-2023 CSBG State Plan in January 2021 with a focus on improving monitoring and eligible entity input. DOS was able to revise its approach to monitoring CSBG funded programs and services to enable analysts to provide targeted training and technical assistance. This model was updated based on feedback from eligible entities during public hearings and on-site monitoring visits. Comments and/or testimony received from our network during the regional meetings and public hearings helped better inform the State Plan development process. DOS continues to assess the effectiveness of its monitoring model. DOS provides individualized technical assistance and training to those agencies with greater need while continuing to engage those agencies who consistently achieve various milestones. Based on feedback from the State Plan Workgroup, Legislative Hearing, Public Hearing, and the ACSI Survey, DOS plans to establish bi-annual meetings to review the current State Plan providing updates to the CSBG Advisory Council and establish a joint NYSCAA-DOS monitoring review workgroup. This process is designed to encourage eligible entities to participate and provide input for consideration in future CSBG State Plans.</p>	
3.5. Eligible Entity Overall Satisfaction:	
<i>Provide the State's target for eligible entity Overall Satisfaction during the performance period:</i>	
Year One	50
Year Two	55
<p>Instructional Note: The state's target score will indicate improvement or maintenance of the state's Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.</p> <p><i>(Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form)</i></p>	

Section 4: CSBG Hearing Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

Pursuant to the requirements of § 676(e)(2) of the federal CSBG Act, the draft New York State CSBG State Plan and Application FFY 2022 and FFY 2023 was posted on the DOS official website (<https://dos.ny.gov/reports-management-plans-and-guides>), with notice posted in the New York State Register on June 9, 2021 (NYS Register Posting). Eligible entities were informed of opportunities to provide comments through emails, monthly newsletters, and NYSCAA Regional Meetings. In addition, DOS emailed the draft plan to eligible entities within the State of New York, NYSCAA, and all members of the NYS Advisory Council. The date of the Public Hearing in June was announced at three regional meetings held in May and June. The public, including the community action network, was afforded a period exceeding 30 days (June 9, 2021-July 16, 2021) to submit written comments.

4.2. Public Notice/Hearing:

Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under Section 676(a)(2)(B) of the CSBG Act.

In 2021, DOS sent notice to all current CSBG eligible entities, NYS CSBG Advisory Council Members, and other stakeholders announcing the release of the 2022-2023 draft State Plan, start of the public comment period and notice of the date, time, and location of the public hearing. To encourage more participation at the Public Hearing, the date of the public hearing in June was also announced at three regional meetings held in May and June and posted on the Department of State's website. A public hearing notice and comment period was published in the New York State Register on June 9, 2021, soliciting written public comments from June 9 to July 16, 2021. On July 8, 2021, a public hearing was held virtually from the DOS offices in Albany, to review comments and testimony from the public regarding the draft 2022-2023 State Plan.

4.3. Public and Legislative Hearings:

In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	06/16/2021	Virtually	Legislative	<input checked="" type="checkbox"/>
2	07/08/2021	Virtual Meeting held on WebEx	Public	<input checked="" type="checkbox"/>

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.

See Attachment 12: Response to Section 4.4 Supporting Documentation for Public hearings. Link for Legislative Hearing: <https://www.youtube.com/watch?v=g8zRcBWuBcQ> Link for the Public Hearing: <https://www.youtube.com/watch?v=9ZJrefkffV0&t=2s>

Section 5: CSBG Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, indicate whether each eligible entity in the state, is public or private, the type(s) of entity, and the geographical area served by the entity.

Note: Table 5.1 pre-populates the Annual Report, Module 1, Table C.1.

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
1	Albany County Opportunity, Inc.	Albany County	Non-Profit	Community Action Agency
2	Allegany County Community Opportunities and Rural Development, Inc.	Allegany County	Non-Profit	Community Action Agency
3	Opportunities for Broome, Inc.	Broome County	Non-Profit	Community Action Agency
4	Cattaraugus Community Action, Inc.	Cattaraugus County	Non-Profit	Community Action Agency
5	Cayuga/Seneca Community Action Agency, Inc.	Cayuga and Seneca Counties	Non-Profit	Community Action Agency
6	Chautauqua Opportunities, Inc.	Chautauqua County	Non-Profit	Community Action Agency
7	Economic Opportunity Program, Inc. of Chemung County	Chemung and Schuyler Counties	Non-Profit	Community Action Agency
8	Opportunities for Chenango, Inc.	Chenango County	Non-Profit	Community Action Agency
9	Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Clinton and Franklin Counties	Non-Profit	Community Action Agency
10	Columbia Opportunities, Inc.	Columbia County	Non-Profit	Community Action Agency
11	Cortland County Community Action Program, Inc.	Cortland County	Non-Profit	Community Action Agency
12	Delaware Opportunities, Inc.	Delaware County	Non-Profit	Community Action Agency
13	Community Action Partnership for Dutchess County, Inc.	Dutchess County	Non-Profit	Community Action Agency
14	Community Action Organization of Western New York, Inc.	Erie County	Non-Profit	Community Action Agency
15	Adirondack Community Action Programs, Inc.	Essex County	Non-Profit	Community Action Agency
16	Fulmont Community Action Agency, Inc.	Fulton and Montgomery Counties	Non-Profit	Community Action Agency
17	Community Action of Greene County, Inc.	Greene County	Non-Profit	Community Action Agency
18	Community Action Planning Council of Jefferson County, Inc.	Jefferson County	Non-Profit	Community Action Agency
19	Lewis County Opportunities, Inc.	Lewis County	Non-Profit	Community Action Agency
20	Livingston County Board of Supervisors (Community Initiatives Council)	Livingston County	Public	Community Action Agency
21	Community Action Program for Madison County, Inc.	Madison County	Non-Profit	Community Action Agency
22	Action for a Better Community, Inc.	Monroe and Ontario Counties	Non-Profit	Community Action Agency
23	Economic Opportunity Commission of Nassau County, Inc.	Nassau County	Non-Profit	Community Action Agency
24	Niagara Community Action Program, Inc.	Niagara County	Non-Profit	Community Action Agency
25	New York City Department of Youth and Community Development	New York City	Public	Community Action Agency
26	Mohawk Valley Community Action Agency, Inc.	Oneida and Herkimer Counties	Non-Profit	Community Action Agency
27	People's Equal Action and Community Effort, Inc.	Onondaga County	Non-Profit	Community Action Agency

28	Regional Economic Community Action Program, Inc.	Orange County	Non-Profit	Community Action Agency
29	Community Action of Orleans and Genesee, Inc.	Orleans and Genesee Counties	Non-Profit	Community Action Agency
30	Oswego County Opportunities, Inc.	Oswego County	Non-Profit	Community Action Agency
31	Opportunities for Otsego, Inc.	Otsego County	Non-Profit	Community Action Agency
32	PathStone Corporation	Statewide	Non-Profit	Migrant or Seasonal Farmworker Organization
33	Commission on Economic Opportunity for the Greater Capital Region, Inc.	Rensselaer County	Non-Profit	Community Action Agency
34	Saratoga County Economic Opportunity Council, Inc.	Saratoga County	Non-Profit	Community Action Agency
35	Schenectady Community Action Program, Inc.	Schenectady County	Non-Profit	Community Action Agency
36	Schoharie County Community Action Program, Inc.	Schoharie County	Non-Profit	Community Action Agency
37	Pro Action of Steuben and Yates, Inc.	Steuben and Yates Counties	Non-Profit	Community Action Agency
38	St. Lawrence County Community Development Program, Inc.	St. Lawrence County	Non-Profit	Community Action Agency
39	Economic Opportunity Council of Suffolk, Inc.	Suffolk County	Non-Profit	Community Action Agency
40	Tioga Opportunities, Inc.	Tioga County	Non-Profit	Community Action Agency
41	Tompkins Community Action, Inc.	Tompkins County	Non-Profit	Community Action Agency
42	Ulster County Community Action Committee, Inc.	Ulster County/Sullivan County	Non-Profit	Community Action Agency
43	Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Warren and Hamilton Counties	Non-Profit	Community Action Agency
44	Washington County Economic Opportunity Council, Inc.	Washington County	Non-Profit	Community Action Agency
45	Wayne County Action Program, Inc.	Wayne County	Non-Profit	Community Action Agency
46	Westchester Community Opportunity Program, Inc.	Westchester, Putnam and Rockland Counties	Non-Profit	Community Action Agency
47	Yonkers Community Action Program, Inc.	City of Yonkers	Non-Profit	Community Action Agency
48	Wyoming County Community Action, Inc.	Wyoming County	Non-Profit	Community Action Agency

5.2. Total number of CSBG eligible entities 48

5.3. Changes to Eligible Entities List:

Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: [Check all that apply].

- ☐ Designation and/or Re-Designation
☐ De-designations and/or Voluntary Relinquishments
☒ Mergers
☐ No Changes to Eligible Entities List

5.3a. Designation and Re-Designation: Identify any new entities that have beendesignated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year.Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated).

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete

5.3b. De-Designation and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last Federal Fiscal Year.

CSBG Eligible Entity	Reason	Delete

5.3c. Mergers: In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year State Plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.	Delete
1. Opportunities for Broome, Inc 2. Opportunities for Chenango, Inc.	Opportunities for Chenango, Inc.	Greater Opportunities for Broome and Chenango, Inc.	083279851	

Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
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Expires: 06/30/2021

SECTION 6 Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period

☒ COE CSBG Organizational Standards ☐ Modified version of COE CSBG Organizational Standards ☐ Alternative set of Organizational Standards

6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.

No modifications were made.

6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.

6.1c. Alternative Organizational Standards Changes: If using an alternative set of organizational standards:

- 1) provide any changes from the last set provided during the previous State Plan submission;
- 2) describe the reasons for using alternative standards; and
- 3) describe how they are at least as rigorous as the COE- developed standards

☒ There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Describe rigor compared to COE-developed Standards

6.2. Implementation: Check the box that best describes how the state officially adopt(ed) organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. *[Check all that apply and narrative where applicable]*

☐ Regulation

☒ Policy

☒ Contracts with eligible entities

☐ Other, describe:

6.3. Organizational Standards Assessment: Describe how the state assess eligible entities against organizational standards this federal fiscal year(s). *[Check all that apply.]*

☐ Peer-to-peer review (*with validation by the State or state-authorized third party*)

☒ Self-assessment (*with validation by the State or state-authorized third party*)

☐ Self-assessment/peer review with state risk analysis

☐ State-authorized third party validation

☒ Regular, on-site CSBG monitoring

☒ Other Triennial Assessments (TRACS, Annual Assessments (ACROS))

6.3a. Assessment Process: Describe the planned assessment process.

Per the DOS Monitoring Guide, DOS uses three processes to address this requirement. The first is an annual assessment, the second process is the more comprehensive triennial assessment, and the third is routine monitoring. The first process is the Annual Compliance Review of Organization Standards (ACROS), NYS opted to implement the use of a self-assessment conducted by the eligible entity. To better develop a uniform process for the eligible entity self-assessment, DOS requires all eligible entities to use the Organizational Standard Self-Assessment Tool created by the Community Action Partnership. Documentation will be reviewed by the assigned program analyst and fiscal representative to verify compliance with IM138. Training and technical assistance may be arranged to assist eligible entities in addressing identified areas of non-compliance. For standards requiring a longer timeframe to address, a Technical Assistance Plan (TAP) will be created to monitor progress. As part of the annual requirement, eligible entities submit the self-assessment tool and supporting documentation to DOS by January 31st. The desk review will take place during the 2nd quarter. Progress on compliance with unmet standards will be verified during monitoring. DOS submits this information on the number of met standards as part of the CSBG Annual Report. The second process is the Triennial Review for Accountability and Compliance with Standards (TRACS). This process is designed to comply with the requirement that a comprehensive on-site review of each eligible entity must be conducted at least once during each 3-year period. TRACS is based in part on the assessment tool created by the Community Action Partnership to assess compliance with the organizational standards. The TRACS tool includes indicators that demonstrate the eligible entity has operationalized each standard. In most instances, the additional indicators expand on the organizational standard. In most instances, the additional indicator expands on the organizational standard to review compliance with state and

federal contractual requirements. A final report is issued to the Chairperson of the Board of Directors and the eligible entities Chief Executive Office/ Executive Director.			
6.4. Eligible Entity Exemptions: Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? <input type="radio"/> Yes <input checked="" type="radio"/> No			
6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption			
Total Number of Exempt Entities: 0			
CSBG Eligible Entity		Description / Justification	
6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for FFY(S) for this planning period			
Year One	73%	Year Two	73%
Note: Item 6.5 is associated with State Accountability Measures 6Sa and prepopulate the Annual report, Module 1, Table D.2.			

Section 7: State Use of Funds

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
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SECTION 7 State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula:

Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

- ☐ Historic
- ☒ Base + Formula
- ☐ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☐ Other

7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities.

At the inception of the CSBG program, the State allocated CSBG funding to eligible entities throughout the State using the Base plus Formula methodology noted above. Due to the proportional share requirements applicable to the distribution of funds to eligible entities, the percentage of the 90 percent funds provided to each eligible entity is mandated to be the same from year to year. Therefore the proportional allocation for each eligible entity has not changed.

7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating "not less than 90 percent" funds among eligible entities? ☒ Yes ☐ No

7.2. Planned Allocation:

Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than of 90 percent funds" as described under Section 675C(a) of the CSBG Act.

In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Note: This information pre-populates the state's Annual Report, Module 1, Table E.2.

Year One	90.00%	Year Two	90.00%
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Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Delete
Albany County Opportunity, Inc.	\$261,677	
Allegany County Community Opportunities and Rural Development, Inc.	\$235,163	
Opportunities for Broome, Inc.	\$354,163	
Cattaraugus Community Action, Inc.	\$239,940	
Cayuga/Seneca Community Action Agency, Inc.	\$416,310	
Chautauqua Opportunities, Inc.	\$239,940	
Economic Opportunity Program, Inc. of Chemung County	\$416,310	
Opportunities for Chenango, Inc.	\$239,940	
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	\$517,931	
Columbia Opportunities, Inc.	\$239,940	
Cortland County Community Action Program, Inc.	\$239,940	
Delaware Opportunities, Inc.	\$239,940	
Community Action Partnership for Dutchess County, Inc.	\$457,542	
Community Action Organization of Western New York, Inc.	\$2,078,844	
Adirondack Community Action Programs, Inc.	\$239,940	
Fulmont Community Action Agency, Inc.	\$360,785	
Community Action of Greene County, Inc.	\$239,940	
Community Action Planning Council of Jefferson County, Inc.	\$239,940	
Lewis County Opportunities, Inc.	\$239,940	
Livingston County Board of Supervisors (Community Initiatives Council)	\$235,163	
Community Action Program for Madison County, Inc.	\$235,163	

Action for a Better Community, Inc.	\$1,765,563	
Economic Opportunity Commission of Nassau County, Inc.	\$2,334,570	
Niagara Community Action Program, Inc.	\$348,722	
New York City Department of Youth and Community Development	\$33,482,403	
Mohawk Valley Community Action Agency, Inc.	\$656,249	
People's Equal Action and Community Effort, Inc.	\$1,556,554	
Regional Economic Community Action Program, Inc.	\$550,593	
Community Action of Orleans and Genesee, Inc.	\$416,310	
Oswego County Opportunities, Inc.	\$235,163	
Opportunities for Otsego, Inc.	\$239,940	
PathStone Corporation	\$354,216	
Commission on Economic Opportunity for the Greater Capital Region, Inc.	\$239,940	
Saratoga County Economic Opportunity Council, Inc.	\$239,940	
Schenectady Community Action Program, Inc.	\$239,940	
Schoharie County Community Action Program, Inc.	\$239,940	
Pro Action of Steuben and Yates, Inc.	\$416,310	
St. Lawrence County Community Development Program, Inc.	\$239,940	
Economic Opportunity Council of Suffolk, Inc.	\$1,306,284	
Tioga Opportunities, Inc.	\$239,940	
Tompkins Community Action, Inc.	\$239,940	
Ulster County Community Action Committee, Inc.	\$479,880	
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	\$360,785	
Washington County Economic Opportunity Council, Inc.	\$239,940	
Wayne County Action Program, Inc.	\$239,940	
Westchester Community Opportunity Program, Inc.	\$1,640,982	
Yonkers Community Action Program, Inc.	\$473,861	
Wyoming County Community Action, Inc.	\$235,163	
Total	\$56,981,459	
CSBG Eligible Entity Year Two		
CSBG Eligible Entity	Year Two Funding Amount \$	Delete
Albany County Opportunity, Inc.	\$261,677	
Allegany County Community Opportunities and Rural Development, Inc.	\$235,136	
Opportunities for Broome, Inc.	\$354,163	
Cattaraugus Community Action, Inc.	\$239,940	
Cayuga/Seneca Community Action Agency, Inc.	\$416,310	
Chautauqua Opportunities, Inc.	\$239,940	
Economic Opportunity Program, Inc. of Chemung County	\$416,310	
Opportunities for Chenango, Inc.	\$239,940	
Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	\$517,931	
Columbia Opportunities, Inc.	\$239,940	
Cortland County Community Action Program, Inc.	\$239,940	
Delaware Opportunities, Inc.	\$239,940	
Community Action Partnership for Dutchess County, Inc.	\$457,542	
Community Action Organization of Western New York, Inc.	\$2,078,844	
Adirondack Community Action Programs, Inc.	\$239,940	
Fulmont Community Action Agency, Inc.	\$360,785	
Community Action of Greene County, Inc.	\$239,940	
Community Action Planning Council of Jefferson County, Inc.	\$239,940	
Lewis County Opportunities, Inc.	\$239,940	
Livingston County Board of Supervisors (Community Initiatives Council)	\$235,163	
Community Action Program for Madison County, Inc.	\$235,163	

Action for a Better Community, Inc.	\$1,765,563
Economic Opportunity Commission of Nassau County, Inc.	\$2,334,570
Niagara Community Action Program, Inc.	\$348,722
New York City Department of Youth and Community Development	\$33,482,403
Mohawk Valley Community Action Agency, Inc.	\$656,249
People's Equal Action and Community Effort, Inc.	\$1,556,554
Regional Economic Community Action Program, Inc.	\$550,593
Community Action of Orleans and Genesee, Inc.	\$416,310
Oswego County Opportunities, Inc.	\$235,163
Opportunities for Otsego, Inc.	\$239,940
PathStone Corporation	\$354,216
Commission on Economic Opportunity for the Greater Capital Region, Inc.	\$239,940
Saratoga County Economic Opportunity Council, Inc.	\$239,940
Schenectady Community Action Program, Inc.	\$239,940
Schoharie County Community Action Program, Inc.	\$239,940
Pro Action of Steuben and Yates, Inc.	\$416,310
St. Lawrence County Community Development Program, Inc.	\$239,940
Economic Opportunity Council of Suffolk, Inc.	\$1,306,284
Tioga Opportunities, Inc.	\$239,940
Tompkins Community Action, Inc.	\$239,940
Ulster County Community Action Committee, Inc.	\$479,880
Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	\$360,785
Washington County Economic Opportunity Council, Inc.	\$239,940
Wayne County Action Program, Inc.	\$239,940
Westchester Community Opportunity Program, Inc.	\$1,640,982
Yonkers Community Action Program, Inc.	\$473,861
Wyoming County Community Action, Inc.	\$235,163
Total	\$56,981,432

7.3. Distribution Process:

Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

Contract development process - The State uses a multiyear contract as a mechanism to provide funding to each CSBG eligible entity. Prior to the beginning of each multiyear contract cycle, Community Action Plan and budget forms are distributed to all eligible entities to begin development of the contract package (60 days). In the fourth quarter, the remaining documents comprising the contract package are sent to the eligible entities to complete. The full package of documents is due three weeks later (21 days). When contracts are received by the Department of State, they are distributed among the assigned CSBG program analysts and fiscal representatives for review. NOTE: Contract review can be delayed while DOS works with eligible entities to develop a contract that is approvable. The approval process - State Legislative approval for the distribution of CSBG funding to be received by the State during the upcoming federal fiscal year is generally granted by the passage of the State Budget in April. CSBG funding to eligible entities is distributed pursuant to contracts entered between DOS and each eligible entity. The contracting process requires approval from the DOS, the New York State Office of the Attorney General, and the New York State Office of the State Comptroller. The Department of State provides contract documents, including budgets and Community Action Plans, to all eligible entities. Once a completed contract is received by DOS, the contract package is reviewed and sent to the Departments Bureau of Fiscal Management (5-10 business days). DOS Counsel may review issues with a Vendor Responsibility Questionnaire (1 day). Once approved by DOS, the contract package is provided to the New York State Office of the Attorney General for approval (15 business days), and the New York State Office of the State Comptroller for final approval (15 business days). These are target timelines based on current practice. The process for making funds available - Funding availability is based on the level of CSBG funding provided in the Federal Notice of Grant Award (NGA) to the State. Initial payments of CSBG funds are generally made available to eligible entities within one month of the October 1st contract start date or upon receipt of federal funding. Upon receipt of the NGA and completion of the contracting and approval process described in the States response above, CSBG funding is made available to eligible entities using an advance payment methodology. Four payments per year are issued to each eligible entity in 25 percent increments. The first 25 percent payment is made upon final contract approval and the States receipt of Federal CSBG funding. Subsequent payments of 25 percent are processed throughout the contract year when the eligible entity has submitted financial reports documenting expenditures at specific minimum levels (20%, 45%, and 70%), along with program progress reports (PPR) and narratives showing measurable progress toward achieving contractually established service provision goals and other compliance requirements are also submitted.

7.4. Distribution Timeframe:

Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? ☒ Yes
☐ No

7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the state's annual report form.

7.5. Performance Management Adjustment:

Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans.

<p>Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.</p>			
<p>Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the state's annual report form.</p>			
<p>Testimony provided at the CSBG public hearing indicated network-wide support for a statewide database which may allow for the streamlining of the NYS contracting process. The state will continue to investigate methods to further modernize the contracting process. As a result of feedback from eligible entities, the contracting review process may be revised to shorten the time required to review and approve contracts. Currently, DOS is utilizing Microsoft SharePoint to internally review contract documents and expedite the finalization of corrections and/or revisions as needed to move the contract forward. DOS has also incorporated the use of video collaboration software (Cisco WebEx and Microsoft Teams) to improve the transparency of the review process with eligible entities. The State continues to explore methods such as an electronic database system, to make this fully electronically integrated process, for both the eligible entity and the state. It should be noted that payments are dependent upon the receipt and processing of a Notice of Grant Award from the federal government. Establishing the final budget for all new contracts requires receiving a final allocation from the federal government. These variables, including the satisfaction of contractual requirements, can impact contract and grant administration timeframes.</p>			
<p>Administrative Funds [Section 675C(b)(2) of the CSBG Act]</p>			
<p>Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.</p>			
<p>7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.</p>			
Year One (0.00%)	5.00	Year Two (0.00%)	5.00
<p>7.7. State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan</p>			
Year One	41.00	Year Two	41.00
<p>7.8. State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan</p>			
Year One	21.00	Year Two	21.00
<p>7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act? <input checked="" type="radio"/> Yes <input type="radio"/> No</p>			
<p>If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.</p>			
Year One (0.00%)	5.00%	Year Two (0.00%)	5.00%
<p>Use of Remainder/Discretionary Funds (See Section 675C(b)(1) of the CSBG Act)</p>			
<p>Note: This response will link to the corresponding assurance, Item 14.2.</p>			
<p>Instructional Note: The assurance under 676(b)(2) of the Act (Item 14.2 of this State Plan) specifically requires a description of how the state intends to use remainder/discretionary funds to "support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act]." Include this description in Item 7.9f of the table below.</p>			
<p>If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.</p>			
<p>Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.</p>			
Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities	
7.9a. Training/technical assistance to eligible entities	\$412,500.00	These planned services/activities will be described in State Plan Item 8.1.	
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9c. Statewide coordination and communication among eligible entities	\$37,500.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.	
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00		
7.9e. Asset-building programs	\$0.00		
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$2,490,000.00	Programs and activities such as low income/immigrants service, workforce development, reentry, Fatherhood Initiative, family enrichment, Trauma Informed Care, and Racial/Social Equity.	
7.9g. State charity tax credits	\$0.00		
7.9h. Other activities, specify in column 3	\$318,892.00	Native American Tribes: Are funded up to .5% of total funds. Disaster Funding: In accordance with	

		IM #154 and #157
Total	\$3,258,892.00	
Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities
7.9a. Training/technical assistance to eligible entities	\$4,125,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$37,500.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	0	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$2,300,000.00	Programs and activities such as low income/immigrant services, workforce development, reentry, Fatherhood Initiative, family enrichment, Trauma-informed care, and Racial/Social Equity
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$318,892.00	Native American Tribes: Are funded up to .5% of total funds. Disaster Funding: In accordance with IM #154 and #157
Total	\$6,781,392.00	
7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the State Plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. [Check all that apply and narrative where applicable]		
<input type="checkbox"/> The state directly carries out all activities (No Partnerships)		
<input type="checkbox"/> The state partially carries out some activities		
<input checked="" type="checkbox"/> CSBG eligible entities (<i>if checked, include the expected number of CSBG eligible entities to receive funds</i>) 48		
<input checked="" type="checkbox"/> Other community-based organizations		
<input checked="" type="checkbox"/> State Community Action association		
<input checked="" type="checkbox"/> Regional CSBG technical assistance provider(s)		
<input checked="" type="checkbox"/> National technical assistance provider(s)		
<input type="checkbox"/> Individual consultant(s)		
<input checked="" type="checkbox"/> Tribes and Tribal Organizations		
<input checked="" type="checkbox"/> Other Neighborhood and Faith-based community organizations		
Note: This response will link to the corresponding CSBG assurance, item 14.2.		
7.11. Performance Management Adjustment: Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.		
Note: This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.		
DOS will provide direct training and technical assistance specific to state contracting processes and requirements. DOS obtained feedback from the regional meetings, presentations at NYSCAA conferences, and comments at the public hearing. The Community Action Network recommended that NYSCAA continue to receiving funds to provide training and technical assistance, focusing on ROMA practices/principles, CSBG Organizational Standards, and National Performance Indicators (NPIs). Technical assistance grants funding NYSCAA and supporting volunteer recruitment/coordination efforts will continue in 2022 and 2023. DOS received recommendations for discretionary funds to support innovative pilots, best practices, evidence-based programming, social equity, agency capacity building, and trauma-informed care. Discretionary funds may also be used to allow eligible entities to enhance agency capacity in the delivery of services, in accordance with applicable federal policies, Uniform Guidance, and State procedures. In the 2022 and 2023 plan, based on the support from HHS/OCS IM151 and the feedback noted above, DOS will expand the use of discretionary funds to assist eligible entities to address the organizational standards by making capacity-building funds available to eligible entities. These funds may support improvements to data collection systems and provide assistance for eligible entities in need of critical expertise to mitigate risk or address compliance requirements.		

Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 8 State Use of Funds

8.1. Training and Technical Assistance Plan: Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below.

Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.

(CSBG funding used for this activity is referenced under item 7.9a Use of, Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)

Note: This information is associated with State Accountability Measure 3Scand pre-populates the Annual Report, Module 1, Table F.1.

Training and Technical Assistance - Year One

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Fiscal	
2	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
3	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
4	Ongoing / Multiple Quarters	Both	Organizational Standards for eligible entities with unmet TAPs and QIPs	
5	Ongoing / Multiple Quarters	Both	Correcting Significant Deficiencies Among Eligible Entities	
6	Ongoing / Multiple Quarters	Both	Reporting	
7	Ongoing / Multiple Quarters	Both	ROMA	
8	Ongoing / Multiple Quarters	Both	Community Assessment	
9	Ongoing / Multiple Quarters	Both	Strategic Planning	
10	Ongoing / Multiple Quarters	Both	Monitoring	
11	Ongoing / Multiple Quarters	Both	Communication	
12	Ongoing / Multiple Quarters	Both	Technology	
13	Ongoing / Multiple Quarters	Both	Other	Community Action Coordination, Volunteer Coordination, CAA Mentoring, Risk Assessment, Trauma Informed Care, Uniform Guidance, Consumer Protection, Capacity building

Training and Technical Assistance - Year Two

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Fiscal	
2	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
3	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
4	Ongoing / Multiple Quarters	Both	Organizational Standards for eligible entities with unmet TAPs and QIPs	
5	Ongoing / Multiple Quarters	Both	Correcting Significant Deficiencies Among Eligible Entities	
6	Ongoing / Multiple Quarters	Both	Reporting	
7	Ongoing / Multiple Quarters	Both	ROMA	
8	Ongoing / Multiple Quarters	Both	Community Assessment	
9	Ongoing / Multiple Quarters	Both	Strategic Planning	
10	Ongoing / Multiple Quarters	Both	Monitoring	
11	Ongoing / Multiple Quarters	Both	Communication	
12	Ongoing / Multiple Quarters	Both	Technology	

13	Ongoing / Multiple Quarters	Both	Other	Community Action Coordination, Volunteer Coordination, CAA Mentoring, Risk Assessment, Trauma Informed Care, Uniform Guidance, Consumer Protection, Capacity Building
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8.1a. Training and Technical Assistance Budget: The planned budget for the training and technical assistance plan (*as indicated in the Remainder/Discretionary Funds table in item 7.9*):

Year One	\$412,500	Year Two	\$4,125,000
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8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the state association and other stakeholders in the planning and delivery of training and technical assistance.

DOS collaborates with NYSCAA to plan and deliver training and technical assistance to the NYS CSBG network. The state office and state association may hold biweekly meetings. These meetings focus on addressing unmet/unidentified needs of the network. Needs are often identified by general conversational topics raised at Executive Director meetings, Advisory Council meetings, through DOS monitoring, network surveys, and CSBG public hearings. Testimony provided as the CSBG public hearing indicated network-wide support for Trauma-Informed Care and the Fatherhood initiative, which is supported with CSBG discretionary funds. DOS and NYSCAA develop a comprehensive work plan geared to deliver training and technical assistance utilizing Regional Meetings, NYSCAA's eLearning platform, NYSCAA's Annual Professional Development Conference, and individualized webinars/trainings.

8.2. TAPs and QIPs: Does the state have Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? ☒ Yes ☐ No

Note: This information is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

8.2a. Address Unmet Organizational Standards: Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. In accordance with IM138, DOS has the following process to address unmet organizational standards: In cases where the eligible entity may be able to meet an unmet indicator in a reasonable timeframe, DOS will work with the eligible entity to create a Technical Assistance Plan (TAP) that lists recommended action for the eligible entity and DOS planned assistance for unmet standards. The DOS Program Analyst and Fiscal Representative will verify progress made by the agency in carrying out the recommendations in the plan during monitoring engagements. If appropriate, the State may initiate action in accordance with section 678C of the CSBG Act, including the issuance of a Notice of Deficiency and the establishment of a Quality Improvement Plan (QIP) with clear timelines and benchmarks for progress. The failure of an eligible entity to meet multiple standards, or in cases where one or more serious deficiencies (including but not limited to, contractual non-compliance, financial irresponsibility, failure to adequately provide services, conversion, fraud, corruption or abuse) may reflect deeper organizational challenges and risk. In those cases, a State must determine whether it may be necessary to take additional actions, including initiating action to reduce or terminate funding, in accordance with section 678C of the CSBG Act (see also CSBG IM 116).

8.3. Training and Technical Assistance Organizations: Indicate the types of organizations through which the State Plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement. *[Check all that apply.]*

<input checked="" type="checkbox"/>	CSBG eligible entities (<i>if checked, provide the expected number of CSBG eligible entities to receive funds</i>)	48
<input type="checkbox"/>	Other community-based organizations	
<input checked="" type="checkbox"/>	State Community Action association	
<input type="checkbox"/>	Regional CSBG technical assistance provider(s)	
<input checked="" type="checkbox"/>	National technical assistance provider(s)	
<input type="checkbox"/>	Individual consultant(s)	
<input type="checkbox"/>	Tribes and Tribal Organizations	
<input type="checkbox"/>	Other	

8.4. Performance Management Adjustment: Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sd may pre-populate the state's annual report form

Direct feedback provided by eligible entities has informed DOS's adjustments to its T&TA Plan. DOS continues to explore training and technical assistance opportunities for eligible entities based on feedback from NYSCAA Workgroups/regional meetings, individual Executive Director/CAA network calls, and Advisory Councils meetings.

Section 9: State Linkages and Communication

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 9 State Linkages and Communication

Note: This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1. State Linkages and Coordination at the state Level:

Describe the linkages and coordination at the state level that the State intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Describe additional information as needed. [Check all that apply from the list below and provide a narrative]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's Annual Report, Module 1, Item G.1.

☐ State Low Income Home Energy Assistance Program (LIHEAP) office

☐ State Weatherization office

☐ State Temporary Assistance for Needy Families (TANF) office

☐ State Head Start office

☒ State public health office

☐ State education department

☒ State Workforce Innovation and Opportunity Act (WIOA) agency

☒ State budget office

☐ Supplemental Nutrition Assistance Program (SNAP)

☐ State child welfare office

☐ State housing office

☒ Other

Office for New Americans, Commission of Corrections, Department of Corrections and Community Supervision, local Departments of Social Services, local law enforcement along with Office of Children and Family Services. DOS continues to work to further strengthen coordination between the NYS Public Health Office, NYS Budget Office, NYS Department of Health, and other agencies. The DOS Division of Community Services continues to participate in the WIOA Interagency Team, headed by the New York State Department of Labor. Group efforts are coordinated to assure maximum effectiveness of employment and training activities. These efforts aim to foster collaboration and lasting linkages among State agencies, as well as providers of such services. These collaborations are facilitated through the use of memorandums of understanding (MOUs) between participating state agencies. Increased collaboration will allow for the more effective deployment of resources, expanding access for low-income individuals.

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services, (and as required by assurances under Sections 676(b)(5) - (6))

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6., and pre-populates the Annual Report, Module 1, Item G.2.

DOS requires eligible entities to identify their State and local partners and the scope of their affiliations in the annual refunding package (funded by 90% to eligible entities). The partnerships and their associated outcomes are included in the Community Action Plan with the corresponding program they enhance, augment, or expand. Partnerships are formed with other service providers, local governments, educational institutions, faith-based organizations, and businesses. DOS uses State administrative funds for activities intended to achieve this purpose. DOS/DCS will expand regularly scheduled meetings with the State government stakeholder agencies that also provide program funding to CAAs. DOS/DCS will also continue to work with the CSBG Advisory Council and NYSCAA to provide presentations and opportunities for continued collaboration with other state agencies.

9.3. Eligible Entity Linkages and Coordination

9.3a. State Assurance of Eligible Entity Linkages and Coordination:

Describe how the state will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Note: This response will link to the corresponding CSBG assurance, item 14.5. and pre-populates the Annual Report, Module 1, Item G.3a.

Linkages are developed by eligible entities with local entities and institutions to enhance or expand services. DOS requires grantees to identify their many partners and the scope of their affiliations in the annual refunding package. Partnerships are formed with other service providers, local governments, educational institutions, faith-based organizations, and businesses. Eligible entities are encouraged to establish formal MOUs with their partners and periodically meet to discuss the status of the partnership or renew/update the MOU.

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps: Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.			
<i>Note: This response will link to the corresponding CSBG assurance, item 14.3b., and pre-populates the Annual Report, Module 1, Item G.3b.</i>			
The CSBGCommunity Action Plan requires eligible entities to identify partnerships associated with each program. The partnerships address a specific need and results to be achieved between the CAA and the partner entity. Many CAAs establish formal and informal agreements with organizations in their area to share information, coordinate referrals and meet on a regular basis to organize local and countywide services.			
9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities: Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? <input checked="" type="radio"/> Yes <input type="radio"/> No			
<i>Note: This response will link to the corresponding CSBG assurance, item 14.5.</i>			
9.4a. WIOA Combined Plan: If the state selected "yes" under item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.			
The DOS Division of Community Services is working with the New York State Department of Labor (the lead agency in the development of the Combined Plan) as well as the other involved State agencies to assure maximum coordination of employment and training activities, and to foster collaboration and lasting linkages among State agencies and providers of such services, including the CSBG network through memorandums of understanding between CAAs and local workforce development councils, and collaboration with state Regional Economic Development Councils (REDCs).			
9.4b. Employment and Training Activities: If the state selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system.			
9.5. Emergency Energy Crisis Intervention: Describe how the state will assure, where appropriate, that emergency energy crisis intervention programs under Title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the state, as required by the assurance under Section 676(b)(6) of the CSBG Act).			
<i>Note: This response will link to the corresponding CSBG assurance, item 14.6.</i>			
The Li-HEAP program is administered through the state office of Office of Temporary and Disability Assistance (OTDA) who distributes funds to local Departments of Social Services (or their designees) and fourteen CAAs.			
9.6. Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act.			
<i>Note: this response will link to the corresponding assurance, item 14.9.</i>			
At the local level, eligible entities work in partnership with a variety of groups, organizations, and institutions. These groups are represented on the eligible entities boards of directors and often include members and officials of law enforcement, faith-based organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual work plan, and reporting document outline the scope of these partnerships. Over the next two years, the State will work to strengthen the relationship between faith-based community organizations and the state-wide networks of CAAs through collaboration with the NYS Governors Office of Faith-Based Community Development Services.			
9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources: Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.			
<i>Note: this response will link to the corresponding assurance, item 14.3c.</i>			
At the local level, eligible entities work in partnership with a variety of groups, organizations, and institutions. These groups are represented on the eligible entities boards of directors and often include members and officials of law enforcement, religious organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual work plan, and reporting document outline the scope of these partnerships.			
9.8. Coordination among Eligible Entities and State Community Action Association: Describe state activities for supporting coordination among the eligible entities and the state community action association.			
<i>Note: This information will pre-populate the Annual Report, Module 1, Item G.5.</i>			
DOS funds NYSCAA to carry out this function. NYSCAA organizes conferences, round tables, surveys, webinars and other educational forums on matters of concern to eligible entities throughout the State. Representatives of the DOS and NYSCAA meet regularly to review areas of concern, assess and evaluate agency needs, and improve coordination among entities cross-region.			
9.9. Communication with Eligible Entities and the State Community Action Association: In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.			
Communication Plan			
Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	Annually	Other	Public Notice Newsletters Meeting/Presentation Email Website
State Plan Development	As needed	Other	Meetings/Presentations Email Newsletter
Organizational Standards Progress			Meetings/Presentations

	Semi-Annually		Newsletter
State Accountability Measures Progress	Annually		Meetings/Presentations Newsletter- this is part of the State Plan
Community Needs Assessments/ Community Action Plans	Annually	Other	Contract Process(Community Action Plan)
State Monitoring Plans and Policies	Biannual		Website Newsletter Email
Training and Technical Assistance (T/TA) Plans	Annually		Individual Monitoring Plan
ROMA and Performance Management	Annually		Annual & Triennial
State Interagency Coordination	As needed		Meetings/Presentations
CSBG Legislative/Programmatic Updates	As needed	Other	Meetings/Presentations Newsletter Email Public Notice Website
Tripartite Board Requirements	As needed		Ongoing Monitoring

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	General Information on Programs and Locations	Daily	Website	

9.10. Feedback to Eligible Entities and State Community Action Association:
Describe how the state will provide information to local entities and state community action associations regarding performance on state accountability measures.

Note: This information is associated with State Accountability Measure 5S(iii). and will pre-populate the Annual Report, Module I, Item G.6

DOS utilizes email blasts, monthly newsletters, training presentations, and webinars to provide information to the CAA's and NYSCAA regarding performance on State Accountability Measures. DOS provides individualized performance reviews during routine monitoring visits and meetings with Executive Directors.

9.11. Performance Management Adjustment:
Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.

Based on feedback received during the regional meetings as well as comments on the newsletters, and interactions with the CSBG Advisory Council, the eligible entities are generally pleased with the States increased level of communication.DOS has received feedback regarding newsletters, NYSCAA sponsored events, and postings on social media.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 10 State Use of Funds

Monitoring, Corrective Action and Fiscal Controls (Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits-including: full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist states in planning. States may indicate "no review" for entities the state does not plan to monitor in the performance period.

Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Albany County Opportunity, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
2	Allegany County Community Opportunities and Rural Development, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
3	Opportunities for Broome, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities

							will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
4	Cattaraugus Community Action, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
5	Cayuga/Seneca Community Action Agency, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
6	Chautauqua Opportunities, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-

							site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
7	Economic Opportunity Program, Inc. of Chemung County	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
8	Opportunities for Chenango, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
9	Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the

							level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
10	Columbia Opportunities, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
11	Cortland County Community Action Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
12	Delaware Opportunities, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring

							and assessment tools. Follow-up monitoring will be provided at least quarterly.
13	Community Action Partnership for Dutchess County, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
14	Community Action Organization of Western New York, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
15	Adirondack Community Action Programs, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring

							will be provided at least quarterly.
16	Fulmont Community Action Agency, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
17	Community Action of Greene County, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
18	Community Action Planning Council of Jefferson County, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
	Lewis County Opportunities, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS

19							Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
20	Livingston County Board of Supervisors (Community Initiatives Council)	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
21	Community Action Program for Madison County, Inc.	Other	Onsite Review	FY1 Q2	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
22	Action for a Better Community, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum

							of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
23	Economic Opportunity Commission of Nassau County, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
24	Niagara Community Action Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
25	New York City Department of Youth and Community Development	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each

							year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
26	Mohawk Valley Community Action Agency, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
27	People's Equal Action and Community Effort, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
28	Regional Economic Community Action Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined

							by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
29	Community Action of Orleans and Genesee, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
30	Oswego County Opportunities, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
31	Opportunities for Otsego, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools.

							Follow-up monitoring will be provided at least quarterly.
32	PathStone Corporation	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
33	Commission on Economic Opportunity for the Greater Capital Region, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
34	Saratoga County Economic Opportunity Council, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least

							quarterly.
35	Schenectady Community Action Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
36	Schoharie County Community Action Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
37	Pro Action of Steuben and Yates, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
38	St. Lawrence County Community Development Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2020	All NYS Eligible Entities will

							receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
39	Economic Opportunity Council of Suffolk, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
40	Tioga Opportunities, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
41	Tompkins Community Action, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and

							virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
42	Ulster County Community Action Committee, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
43	Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
44	Washington County Economic Opportunity Council, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of

							risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
45	Wayne County Action Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
46	Westchester Community Opportunity Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
47	Yonkers Community Action Program, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and

							assessment tools. Follow-up monitoring will be provided at least quarterly.
48	Wyoming County Community Action, Inc.	Other	Onsite Review	FY1 Q1	10/01/2020	09/30/2021	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Albany County Opportunity, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
2	Allegany County Community Opportunities and Rural Development, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools.

							Follow-up monitoring will be provided at least quarterly.
3	Opportunities for Broome, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
4	Cattaraugus Community Action, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
5	Cayuga/Seneca Community Action Agency, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least

							quarterly.
6	Chautauqua Opportunities, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
7	Economic Opportunity Program, Inc. of Chemung County	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
8	Opportunities for Chenango, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
9	Joint Council for Economic Opportunity of Clinton and Franklin Counties, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will

							receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
10	Columbia Opportunities, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
11	Cortland County Community Action Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
12	Delaware Opportunities, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and

							virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
13	Community Action Partnership for Dutchess County, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
14	Community Action Organization of Western New York, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
15	Adirondack Community Action Programs, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of

							risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
16	Fulmont Community Action Agency, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
17	Community Action of Greene County, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
18	Community Action Planning Council of Jefferson County, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and

							assessment tools. Follow-up monitoring will be provided at least quarterly.
19	Lewis County Opportunities, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
20	Livingston County Board of Supervisors (Community Initiatives Council)	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
21	Community Action Program for Madison County, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be

							provided at least quarterly.
22	Action for a Better Community, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
23	Economic Opportunity Commission of Nassau County, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
24	Niagara Community Action Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
25	New York City Department of Youth and Community	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible

	Development						Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
26	Mohawk Valley Community Action Agency, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
27	People's Equal Action and Community Effort, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
28	Regional Economic Community Action Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or

							more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
29	Community Action of Orleans and Genesee, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
30	Oswego County Opportunities, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
31	Opportunities for Otsego, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based

							on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
32	PathStone Corporation	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
33	Commission on Economic Opportunity for the Greater Capital Region, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
34	Saratoga County Economic Opportunity Council, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by

							monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
35	Schenectady Community Action Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
36	Schoharie County Community Action Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
37	Pro Action of Steuben and Yates, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up

							monitoring will be provided at least quarterly.
38	St. Lawrence County Community Development Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
39	Economic Opportunity Council of Suffolk, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
40	Tioga Opportunities, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.

41	Tompkins Community Action, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
42	Ulster County Community Action Committee, Inc.	Other	Onsite Review	FY2 Q2	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
43	Warren-Hamilton Counties Action Committee for Economic Opportunity, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
44	Washington County Economic Opportunity Council, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a

							minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
45	Wayne County Action Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
46	Westchester Community Opportunity Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
47	Yonkers Community Action Program, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual

							visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.
48	Wyoming County Community Action, Inc.	Other	Onsite Review	FY2 Q1	10/01/2021	09/30/2022	All NYS Eligible Entities will receive a minimum of 2-4 or more on-site and virtual visits each year based on the level of risk determined by monitoring and assessment tools. Follow-up monitoring will be provided at least quarterly.

10.2. Monitoring Policies:

Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.

See Attachment #11: Response to Section 10.2 Program and Fiscal Monitoring Process Guideline for FFY 2022 and 2023 an updated monitoring guide

10.3. Initial Monitoring Reports:

According to the state's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state's annual report form.

60

Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Closing Findings:

Are state procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? ☒ Yes ☐ No

10.4a. Closing Findings Procedures: If no describe state procedures for addressing eligible entity findings/deficiencies, and documenting the closure of findings.

10.5. Quality Improvement Plans (QIPs):

Provide the number of eligible entities currently on QIPs, if applicable.

Note: The QIP information is associated with State Accountability Measures 4Sc.

1

10.6. Reporting of QIPs:

Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

Note: This item is associated with State Accountability Measures 4Sa(iii).

DOS provides notice to its assigned OCS Program Specialist, within 30 days of issuing a QIP by attaching the QIP via email, postal service, or telephone calls.

10.7. Assurance on Funding Reduction or Termination:

The state assures, "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as

provided in Section 678C(b)" per Section 676(b)(8). <input checked="" type="radio"/> Yes <input type="radio"/> No
Note: This response will link with the corresponding assurance under item 14.8.
Policies on Eligible Entity Designation, De-designation, and Re-designation
10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.
New York State Executive Law § 159-m.
10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public
10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities <input checked="" type="radio"/> Yes <input type="radio"/> No
10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.
New York State Executive Law § 159-l.
10.9b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public
10.10. Eligible Entity Re-designation: Does the State CSBG statute and/or regulations provide for re-designation of an existing eligible entity? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.10a. Re-Designation Citation: If Yes, provide the citation(s) of the law and/or regulation.
New York State Executive Law § 159-m
10.10b. Re-Designation Procedures: If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public.
Fiscal Controls and Audits and Cooperation Assurance
10.11. Fiscal Controls and Accounting: Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).
The New York State Guide to Financial Operations acts as a reference source for statewide accounting policies, procedures and rules of the Office of the State Comptroller (OSC). The NYS Statewide Financial System (SFS) segregates the CSBG expenditure accounts and cash fund from all other NYS accounts and funds. This enables the SF-425 Form (Federal Financial Report) preparer to isolate CSBG expenditures and respective drawdowns not only by the grant but also by award year. The financial system incorporates expenditure procedures that require Department of State supervisory approval as well as OSC approval. All expenditures are supported by an invoice or internal document and a procurement record when necessary. Expenditures at the sub-grantee level are monitored closely by DOS fiscal representatives and program analysts through desk and on-site reviews. This includes review of reported expenditures traced from the submitted financial report to the sub-grantee accounting records and supporting documents. These reviews are conducted under the guidance of and in accordance with applicable federal policies, Uniform Guidance, and State procedures.
10.12. Single Audit Management Decisions: Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.
Note: This information is associated with State Accountability Measure 4Sd.
Audit reports are reviewed for compliance with current Uniform Guidance by DOS fiscal staff. Additional information regarding CSBG related findings or expenditure reconciliation is obtained, if necessary, to complete the review. The review package is forwarded to a supervisor for final review. A management decision letter is then generated stating acceptance of the audit report with any finding requiring corrective action or follow-up review described as necessary. Management decisions are issued within six months of acceptance of the audit report.
10.13. Assurance on Federal Investigations: The state will "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. <input checked="" type="radio"/> Yes <input type="radio"/> No
Note: This response will link with the corresponding assurance, Item 14.7.
10.14. Performance Management Adjustment: Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.
Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the state's annual report form.
Comments received from the network indicated that eligible entities supported a more targeted monitoring plan. DOS revised its monitoring guide to address these comments. The number of overall monitoring engagements to lower risk agencies has been reduced, per a revised assessment tool. This additional time allows analysts to provide specialized training and technical assistance to eligible entities who may require additional compliance and capacity-building support.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires: 06/30/2021

SECTION 11 State Use of Funds

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act *[Check all that applies and narrative where applicable]*

- ☒ Attend Board meetings
- ☒ Organizational Standards Assessment
- ☒ Monitoring
- ☒ Review copies of Board meeting minutes
- ☒ Track Board vacancies/composition
- ☐ Other

11.2. Tripartite Board Updates: Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc., *[Select one and narrative where applicable]*

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☒ As it Occurs
- ☐ Other

11.3. Tripartite Board Representation Assurance: Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act

Note: This response will link with the corresponding assurance, item 14.10.

DOS program analysts conduct an annual review of agency bylaws to assure this provision is included. The analyst also receives board packets from their assigned eligible entities which identify any changes in representation or petition for representation throughout the federal fiscal year. In addition, upon request for technical assistance, DOS staff will attend a minimum of one board meeting to observe board function.

11.4. Tripartite Board Alternative Representation: Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the state to assure decision-making and participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. ☐ Yes ☒ No

11.4a. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 12 Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

[Check one item below.]

☒ 125% of the HHS poverty line ☐ X% of the HHS poverty line (fill in the threshold) ☐ Varies by eligible entity

0% % *[Response Option: numeric field]*

12.1a. Income Eligibility Policy and Procedures: Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

Pursuant to the federal CSBG Act, the State requires that eligible entities incorporate 125% of the Federal Poverty Line standard as a criterion of eligibility in their administration of the CSBG program. Through monitoring and the provision of training and technical assistance, DOS works with eligible entities to ensure that the federal requirement regarding the use of the poverty line as a criterion of eligibility is incorporated into intake procedures and program planning. If legislative action permits a state to adopt a percentage of poverty higher than 125% then DOS shall select the highest percentage of poverty permissible as a criterion of eligibility. DOS provides additional guidance to eligible entities in the state through the creation and distribution of written guidance entitled Determining Income Eligibility for CSBG Funded Activities and Programs and also incorporated CAPLAW's guidance document entitled CSBG Q and A on Client Eligibility (online at: http://www.caplaw.org/resources/PublicationDocuments/CAPLAW_ClientEligibility_Sept2013.pdf) into training and technical assistance provided to eligible entities in regard to this topic. Generally, to be eligible for CSBG services in NYS, clients must be at or below 125% of the Federal poverty line as determined by the Federal Office of Management and Budget (OMB) based on the most recent Census data and as revised annually (or more frequently) by the US Department of Health and Human Services (HHS poverty guidelines). In addition, the New York City Division of Youth and Community Development (DYCD), the public eligible entity designated for the New York City service area, uses a community/neighborhood-based approach to client income eligibility, with the Federal poverty line serving as a criterion of eligibility as required pursuant to the CSBG Act. DYCD has devised this system and methodology for income eligibility around the qualification and designation of Neighborhood Development Areas (NDAs). DYCD distributes CSBG funds to neighborhood-based organizations within designated NDAs for the provision of anti-poverty services to individuals and families within those NDAs. DYCD qualifies an area as an NDA if either: (1) at least 30 percent of the areas residents live in households with incomes at or below 125% of the poverty line; or (2) at least 30,000 residents in the area are at or below 125% of the poverty line. Through this methodology for CSBG-funded service delivery, DYCD uses the poverty line as a criterion of eligibility in the community services block grant program, as required by 42 USC § 9902(2).

12.2. Income Eligibility for General/Short-Term Services:

Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance.

While eligible entities possess flexibility in devising their own processes and implementation methods, such processes and methods must be reasonable and appropriate. DOS has provided guidance intended to assist the eligible entities in carrying out their responsibilities by addressing various questions related to the CSBG income eligibility requirement. This guidance includes: Agencies will not be required to establish or maintain individualized documentation or records of income eligibility with respect to CSBG services when the location and provision of such services are such that an objective reasonable person would likely conclude that the beneficiaries of such services are generally individuals or families with incomes at or below 125% of the HHS federal poverty guidelines (for example, temporary homeless shelters and community soup kitchens may not need to collect individualized documentation). In addition, community centers generally open to the public and located in impoverished or economically distressed census tracts/neighborhoods that provide services intended to address senior isolation or at-risk youth/delinquency prevention where the nature of the program is openness rather than individual enrollment may not require recordkeeping. Recordkeeping may also not be required for the operation of educational forums made available to the general public. In cases where CSBG services are rendered during a storm or natural disaster or other like events, DOS may waive income verification as it may be an impediment to the provision of needed relief efforts and can impede a timely response in accordance with CSBG IM# 154.

12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

The State monitors eligible entities' to ensure that activities target and benefit low-income communities. Eligible entities comply with state monitoring practices by maintaining documentation demonstrating that the nature of the activity was in accord with the purposes of the CSBG Act. Examples of such activities include an eligible entity community forum on parole re-entry in a high poverty zip code; convening a meeting of human service organizations to discuss expansion and access to anti-poverty services; and, holding an open house for community members to discuss program services.

Section 13: Results Oriented Management and Accountability (ROMA) System

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
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SECTION 13 Results Oriented Management and Accountability (ROMA) System

13.1. Performance Management System:

Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.

Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.

- ☒ The Results Oriented Management and Accountability (ROMA) System
- ☐ Another performance management system that meets the requirements by Section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.

a. Program Progress Reports (PPR): Each eligible entity shall prepare and submit four (quarterly) PPRs documenting progress toward achieving the milestones as stated in the approved Work Plan. The PPRs are due with the Contractors submission of documents for the following: (1) Second payment; (2) Third payment; (3) Fourth payment; and (4) the earlier of: (a) the end of the Term of this Agreement or (b) expenditure of all the funds provided pursuant to this Agreement. Where applicable, the PPRs must include reports of Delegate Agencies. Notwithstanding the foregoing, in addition to the four PPRs required above, the Eligible entity agrees that it shall submit supplemental and additional PPRs upon request of the Division of Community Services during the Term of this Agreement. Such supplemental or additional PPRs shall be submitted in a timely fashion and in the form and manner required by the Division of Community Services. b. Annual Report: Each eligible entity shall annually prepare and submit to the Department a comprehensive report. The report must include: a summary of the outcomes and results achieved in accordance with the purposes, goals, and assurances of CSBG and ROMA.

13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.

13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.

Note: This response will also link to the corresponding assurance, Item 14.12.

- ☒ CSBG National Performance Indicators (NPIs)
- ☐ NPIs and others
- ☐ Others

CSBG Community Action Plan includes CSBG National Performance Indicators (NPIs) associated with program and agency outcomes as a way to measure eligible entity performance. DOS reviews progress on the outcomes contained in the CSBG Community Action Plan. These outcomes are tracked and reported by the eligible entity each quarter.

13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system.

Note: The activities described under Item 13.3 may include activities listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

New York State (NYS) Department of State (DOS) recognizes the value of utilizing the ROMA framework across the NYS CSBG network of eligible entities. DOS Nationally Certified ROMA Trainers (NCRT) staff work closely with the New York State Community Action Association (NYSCAA) to provide support to eligible entities in implementing ROMA. Eligible entities, without an NCRT on staff, have an opportunity for agency staff to be trained in ROMA practices and principles. The alliance, formed in 2018, is comprised of ROMA Professional, MNationally Certified ROMA Trainers (NCRT) and Nationally Certified ROMA Implementers (NCRI), and ROMA candidates. Members of the ROMA Alliance may meet bi-monthly, discussing the core components of the ROMA cycle, key foundational concepts, embraced by eligible entities as best practices. As a result of the ROMA Alliance meetings, ROMA initiatives have been created and implemented across the NYS CSBG network. DOS and NYSCAA partnered to develop training on how to utilize ROMA concepts when creating Community Action Plans. NYS DOS continues to be an active participant at alliance monthly meetings. A natural extension of the ROMA Alliance has been the development of two Communities of Practice (CoP) workgroups. These workgroups coordinated by NYSCAA are designed to create larger supportive connections among ROMA Professionals. The Data CoP focuses on aligning the work of the eligible entity with the phases of the ROMA Cycle. The Evidence-Based Programming/Best Practices CoP assists eligible entities with information on how programs can operate on an Evidence-Based approach.

13.4. Eligible Entity Use of Data:

Describe how the state plans to validate that the eligible entities are using data to improve service delivery.

Note: This response will also link to the corresponding assurance, Item 14.12.

As part of the NYS triennial assessment process, program analysts verify that qualitative and quantitative data are collected and measured against performance to improve service delivery. In addition, the DOS annual compliance review of the national organizational standards required by HHS includes a review of progress or improvement in service delivery at eligible entities based on data collected and reported to eligible entities management staff, governing boards, and the State.

Community Action Plans and Needs Assessments

13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of

CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>
The Community Action Plan, which is an aggregate document consisting of the eligible entity's CSBG work plan, summary of priorities contained in the community needs assessment, and summary of goals and objectives from the entity's strategic plan, is submitted to the State annually by each eligible entity as part of the contract refunding package.
13.6. Community Needs Assessment: Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>
Eligible entities are contractually required to conduct a needs assessment every three years. The methodology and priorities are included in the annual refunding package.

Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
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SECTION 14 State Use of Funds

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the state will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

- (i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
- (ii) to secure and retain meaningful employment;
- (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
- (iv) to make better use of available income;
- (v) to obtain and maintain adequate housing and a suitable living environment;
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -

(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

i. Self-Sufficiency: 47 eligible entities have embraced various service approach models (primarily the family development and two-generation approach) to assist individuals and families to establish personal goals and timelines to address the barriers that have prevented them from becoming self-sufficient. In past years, approximately \$6,000,000 in CSBG funding was used for this purpose. This level of the annual funding is expected to continue in Federal Fiscal Years 2022-23. ii. Employment: 29 eligible entities are providing services ranging from on-the-job training, job skills training, job development, and placement, as well as support services to ensure successful employment outcomes. These include but are not limited to providing childcare, transportation, and work supplies/equipment. Over \$10,600,000 in CSBG funds were allocated to this domain in 2020. A similar level of annual fund use is expected to continue in Federal Fiscal Years 2022-23. iii. Education: 26 eligible entities provide a variety of educational programs for customers of all ages. This includes Head Start, Early Head Start, Afterschool tutoring, GED, Adult Basic Literacy, ESOL, and Financial Literacy. Nearly \$9,900,00 in 2020 CSBG funds were allocated by agencies to this specific domain. That level of annual fund use is expected to continue in Federal Fiscal Years 2022-23. iv. Use of income: As part of utilizing the family development model and/or two-generation approach, 46 eligible entities are working with individuals and families to make better use of available income to achieve greater self-sufficiency. The level of funding made available through the CSBG grant for Federal Fiscal Years 2022-23 is expected to continue as in past years. v. Housing: 32 eligible entities offer housing assistance including but not limited to shelter for targeted populations (DV, homeless, runaway teen), rehabilitation of existing units, development of new housing, rental subsidies, and weatherization. In past years over \$3,000,000 in CSBG funds was allocated for these purposes. A similar level of annual fund use is expected to continue in Federal Fiscal Years 2022 and 2023. vi. Emergency assistance: 31 eligible entities offer emergency assistance, most notably food and clothing but also assistance with medication or health care, utility payments, first-month rent and security deposit, temporary shelter, and disaster recovery. Over \$16,371,000 in 2020 CSBG funds were allocated for these purposes. That level of annual fund use is expected to continue in Federal Fiscal Years 2022 and 2023. vii. Community participation, including documenting best practices and engaging law enforcement agencies: As part of its work funded through DOS, the NYSCAA Board of Directors has established a committee devoted to identifying best practices among its CAA membership. In addition, DOS program analysts will identify best practices during routine monitoring and during the comprehensive triennial assessment of eligible entities and share this information with their colleagues during staff meetings and with other eligible entities during site visits. To encourage eligible entities to achieve greater participation in the affairs of the community (including engaging law enforcement agencies), DOS has provided specific areas within the CSBG Community Action Plan to identify and utilize approximately \$1,300,000, in FFY 2020-2021 for CSBG funded activities related to Civic Engagement and Community Involvement along with the Agency Capacity Building. It is expected that a similar level of annual funding will continue in Federal Fiscal Years 2022-2023.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the state will assure "that funds made available through grant or allotment will be used -

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

The DOS and the CSBG network are committed to addressing the needs of youth in low-income communities. To that end, the Division of Community

Services contracts with a number of eligible entities each year to provide services to youth in low-income communities. Such services include summer jobs programs, youth recreation activities, school dropout prevention, and homework assistance. In addition, eligible entities also provide such services as work skills employment training, education counseling, Head Start, daycare, and ESOL/ESL instruction. Eligible entities are monitored by DOS for achievements in the area of Youth services.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the state will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including state welfare reform efforts)

Eligible entities work with a number of local and statewide organizations in pursuit of expanding and enhancing services to the low-income population. This could include organizations such as food banks, faith-based entities, and local governments, to name a few. The New York State CSBG Community Action Plan includes a section on Partnerships. Eligible entities must identify the name of the organization, describe their involvement, and list the intended outcome for each partnership. DOS verifies that these partnerships are carried out through the routine monitoring of eligible entities and through the negotiation of the Community Action Plan.

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the state intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the state will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the state, a description of..."

14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the state;

All areas of the State are presently served by the CSBG network. Eligible entities within the State of New York serve all 62 counties. The specific geographic areas served by each eligible entity are defined by each agency's terms of its CSBG designation.

Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

Note: The state describes this assurance in the state linkages and communication section, item 9.3b.

The CSBG Community Action Plan requires eligible entities to identify partnerships associated with each program. The partnerships address a specific need and results to be achieved between the CAA and the partner entity. Many CAAs establish formal and informal agreements with organizations in their area to share information, coordinate referrals and meet on a regular basis to organize local and countywide services.

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."

Note: The state describes this assurance in the state linkages and communication section, item 9.7.

At the local level, eligible entities work in partnership with a variety of groups, organizations, and institutions. These groups are represented on the eligible entities boards of directors and often include members and officials of law enforcement, religious organizations, business and industry, neighborhood groups, and other service providers. The CSBG refunding contract, annual work plan, and reporting document outline the scope of these partnerships.

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

At the suggestion of eligible entities during the regional meetings, new pages were added to the CSBG Community Action Plan to allow CAAs to identify Innovative Community and Neighborhood Initiatives they either currently provide or are planning to provide. The CSBG Community Action Plan development process for eligible entities allows the opportunity to initiate new pilot programs with a portion of their CSBG funds. Once other resources are identified, and the pilots no longer require CSBG support, new pilots can be initiated.

Eligible Entity Emergency Food and Nutrition Services

14.4. 676(b)(4) Describe how the state will assure "that eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."

CSBG eligible entities operate food pantries and soup kitchens across the State and have increased availability and hours of operation to meet expanding needs. Nearly all eligible entities operate nutrition or nutrition-related programs using CSBG funding.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

14.5. 676(b)(5) Describe how the state will assure "that the state and eligible entities in the state will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the state and in communities with entities providing activities through statewide and local workforce development systems under such Act."

Note: The state describes this assurance in the state linkages and communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

State Coordination/Linkages and Low-income Home Energy Assistance

14.6. 676(b)(6) Provide "an assurance that the state will ensure coordination between antipoverty programs in each community in the state, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."

Note: The state describes this assurance in the state linkages and communication section, items 9.2 and 9.5.

Federal Investigations

14.7. 676(b)(7) Provide "an assurance that the state will permit and cooperate with Federal investigations undertaken in accordance with section 678D." Yes

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

Funding Reduction or Termination

14.8. 676(b)(8) Provide "an assurance that any eligible entity in the state that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)." Yes

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

14.9. 676(b)(9) Describe how the state will assure "that the state and eligible entities in the state will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the state, including religious organizations, charitable groups, and community organizations."

Note: The state describes this assurance in the state Linkages and Communication section, item 9.6.

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how "the state will require each eligible entity in the state to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."

Note: The state describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

DOS program analysts conduct an annual review of agency bylaws to assure this provision is included. The analyst also receives board packets from their assigned eligible entities which identify any changes in representation or petition for representation throughout the federal fiscal year. In addition, upon request for technical assistance, DOS staff will attend a minimum of one board meeting to observe board function.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the state will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

Note: The state describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the state and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the state will carry out the assurances described in this section."

Note: The state provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.



By checking this box, the state CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:06/30/2021

SECTION 15 Federal Certifications

15.1. CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The box after each certification must be checked by the state CSBG authorized official.

15.1. Lobbying

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or state highway department while in operation, state employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);.

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant

and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about--

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a)The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b)If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly

enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the

statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from

participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

15.3. Debarment

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

15.4. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through state or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

15.4. Environmental Tobacco Smoke

After assurance select a check box:



By checking this box, the state CSBG authorized official is providing the certification set out above.

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.